

<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>SOFT-0004</b>	Serial No. Not Yet Assigned
	Applicant <b>John C. Munson</b>	
	Filing Date <b>Herewith</b>	Group Not Yet Assigned

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 10/099752  
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### U. S. PATENT DOCUMENTS

Examiner Initial		Document No.	Date	Name	Class	Subclass
<i>M</i>	AA	5,067,073	11/19/91	Andrews	395	375
	AB	5,278,901	01/11/94	Shieh et al.	380	4
	AC	5,313,616	05/17/94	Cline et al.	395	500
	AD	5,355,487	10/11/94	Keller et al.	395	650
	AE	5,487,131	01/23/96	Kassatly et al.	395	62
	AF	5,499,340	03/12/96	Barritz	395	184.01
	AG	5,528,753	06/18/96	Fortin	395	183.11
	AH	5,539,907	07/23/96	Srivastava et al.	395	700
	AI	5,557,742	09/17/96	Smaha et al.	395	186
	AJ	5,581,482	12/03/96	Wiedenman et al.	364	551.01
	AK	5,621,889	04/15/97	Lermuzeaux et al.	395	186
	AL	5,732,273	03/24/98	Srivastava et al.	395	704
	AM	5,790,858	08/04/98	Vogel	395	704
	AN	5,987,250	11/16/99	Subrahmanyam	395	704
	AO	6,009,514	12/28/99	Henzinger et al.	712	236
	AP	6,026,236	02/15/00	Fortin et al.	395	704
	AQ	6,094,530	07/25/00	Brandewie	395	704
	AR	6,266,408 B1	05/01/01	Sirosh	382	224
<i>W</i>	AS	6,282,701 B1	08/28/01	Wygodny et al.	717	4
EXAMINER <i>Cell</i>				DATE CONSIDERED 10/25/05		

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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
<i>W</i>	<b>AT</b>	Anderson, D. et al., "Next-generation intrusion detection expert system (NIDES)," Technical Report, Computer Science Laboratory, SRI International, Menlo Park, CA, SRI-CSL-95-07, May, 1995, 1-37 (plus 6 additional pages)	
	<b>AU</b>	Anderson, D. et al., "Detecting Unusual Program Behavior Using the Statistical Component of the Next-generation Intrusion Detection Expert System (NIDES)," SRI-CSL-95-06, SRI International, Menlo Park, CA, May, 1995, 1-71, 73-75, 77 (plus 6 additional pages)	
	<b>AV</b>	Aslam, T. et al., "Use of A Taxonomy of Security Faults," Technical Report TR-96-051, COAST Lab., Purdue University, presented at 19th National Information Systems Security Conference, September, 1996, 1-10	
	<b>AW</b>	Ball, T. et al., "Optimally Profiling and Tracing Programs," Technical Report #1031, University of Wisconsin, Computer Science Dep., September, 1991, 1-27	
	<b>AX</b>	Bishop, M., "A Standard Audit Log Format," <i>Proc. of the 18th National Information Systems Security Conference</i> , 1995, 136-145	
	<b>AY</b>	Bishop, M., "Profiling Under UNIX by Patching," <i>Software-Practice and Exp.</i> , October 1987, 17(10), 729-739	
	<b>AZ</b>	Crosbie, M. et al., "Defending a Computer System using Autonomous Agents," Technical Report No. 95-022, COAST Laboratory, Dept. of Computer Sciences, Purdue University, March, 1994, 1-11	
	<b>BA</b>	Denning, D., "An Intrusion-Detection Model," <i>IEEE Transactions on Software Engineering</i> , February, 1987, 13(2), 222-232	
	<b>BB</b>	Elbaum, S. et al., "Intrusion Detection through Dynamic Software Measurement," <i>Proc. Usenix Workshop on Intrusion Detection and Network Monitoring</i> , Santa Clara, California, April 9-12, 1999, 1-10	
	<b>BC</b>	Graham, S.L. et al., "An Execution Profiler for Modular Programs," <i>Software-Practice and Exp.</i> , 1983, 13, 671-685	
	<b>BD</b>	Hall, R.J., "Call Path Profiling," <i>Proc. 14<sup>th</sup> Int'l Conf. Soft. Engineering</i> , ACM, 1992, 296-306	
	<b>BE</b>	Halme, L. et al., "AINT misbehaving - a Taxonomy of Anti-intrusion Techniques," <i>Proc. of the 18th National Information Systems Security Conference</i> , 1995, 13 pages	
	<b>BF</b>	Hochberg, J. et al., "NADIR: An Automated System for Detecting Network Intrusion and Misuse," <i>Computers &amp; Security</i> , 1993, 12(3), 235-248	
<i>V</i>	<b>BG</b>	Ilgun, K., "USTAT: A Real-time Intrusion Detection System for UNIX," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , May 24-26, 1993, 16-28	
<i>W</i>	<b>BH</b>	Javitz, H. et al., "The SRI IDES Statistical Anomaly Detector," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , May 20-22, 1991, 316-326	
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
CA	BI	Johnson, "Profiling for Fun and Profit," <i>UNSENIX Winter '90 Conference Proceedings</i> , 1990, 325-330	
	BJ	Jonsson, E. et al. "A Quantitative Model of the Security Intrusion Process Based on Attacker Behavior," <i>IEEE Transactions on Software Engineering</i> , April, 1997, 23(4), 235-245	
	BK	Kumar, S. et al., "A Pattern Matching Model for Misuse Intrusion Detection," <i>Proc. of the 17th National Computer Security Conference</i> , COAST Laboratory, Dept. of Computer Sciences, Purdue University, October, 1994, 11-21	
	BL	Kumar, S. et al., "A Software Architecture to Support Misuse Intrusion Detection," <i>Proc. 18th National Information Systems Security Conference</i> , COAST Laboratory, Dept. of Computer Sciences, Purdue University, March, 1995, 1-17	
	BM	Lankewicz, L. et al., "Real-Time Anomaly Detection Using a Nonparametric Pattern Recognition Approach," <i>Seventh Annual Computer Security Applications Conference</i> , San Antonio, Texas, December 2-6, 1991, 80-89	
	BN	Larus, J.R., "Abstract Execution: A Technique for Efficiently Tracing Programs," <i>Software-Practice and Experience</i> , December, 1990, 20(12), 1241-1258	
	BO	Larus, J.R. et al., "Rewriting Executable Files to Measure Program Behavior," <i>Technical Report #1083</i> , University of Wisconsin, Computer Science Dep., March 25, 1992, 1-17	
	BP	Lunt, T., "A Survey of Intrusion Detection Techniques," <i>Computers &amp; Security</i> , 1993, 12, 405-418	
	BQ	Mukherjee, B. et al., "Network Intrusion Detection," <i>IEEE Network</i> , May/June, 1994, 8(3), 26-41	
	BR	Munson, J., "A Functional Approach to Software Reliability Modeling," In <i>Quality of Numerical Software, Assessment and Enhancement</i> , Boisvert (ed.), Chapman & Hall, London, 1997, 61-76	
	BS	Petersen, K., "IDA - Intrusion Detection Alert," <i>Proc. of the IEEE Annual International Computer Software and Applications Conference</i> , Chicago, IL, September 21-25, 1992, 306-311	
	BT	Porras, P. et al., "Penetration State Transition Analysis - A Rule-Based Intrusion Detection Approach," <i>Eighth Annual Computer Security Applications Conference</i> , IEEE Computer Society Press, November 30 - December 4, 1992, 220-229	
✓	BU	Power, L.R., "Design and use of a program execution analyzer," <i>IBM Systems J.</i> , 1983, 22(3), 271-294	
W	BV	Puketza, N. et al., "A Methodology for Testing Intrusion Detection Systems," <i>IEEE Transactions on Software Engineering</i> , October, 1996, 22(10), 719-729	
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<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
W	<b>BW</b>	Shieh et al., "A Pattern-Oriented Intrusion-Detection Model and Its Applications," <i>Proc. of the 1991 IEEE Symposium on Research in Security and Privacy</i> , Oakland, Calif., May 20-22, 1991, 327-342	
↓	<b>BX</b>	Smaha, S., "Haystack: An Intrusion Detection System," <i>Proceedings of the Fourth Aerospace Computer Security Applications Conference</i> , Orlando, Florida, IEEE Computer Society, December 12-16, 1988, 37-44	
↓	<b>BY</b>	Smith, M.D., "Tracing with Pixie," Stanford University Technical Report No. CSL-TR-91-497, April 4, 1991, 1-29	
↓	<b>BZ</b>	Sobirey, M. et al., "The Intrusion Detection System AID. Architecture, and Experiences in Automated Audit Analysis," <i>Proc. of the International Conference on Communications and Multimedia Security</i> , September 23-24, 1996, 278-290	
↓	<b>CA</b>	Speer, S.E., "Improving UNIX Kernel Performance Using Profile Based Optimization," Winder USENIX, January 17-21, 1994, 181-188	
↓	<b>CB</b>	Teng, H. et al., "Adaptive Real-Time Anomaly Detection Using Inductively Generated Sequential Patterns," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, May 7-9, 1990, 278-284	
↓	<b>CC</b>	Vaccaro, H. et al., "Detection of Anomalous Computer Session Activity," <i>Proc. of the IEEE Symposium on Research in Security and Privacy</i> , Oakland, CA, May 1-3, 1989, 280-289	
W	<b>CD</b>	Wall, D.W., "Global Register Allocation at Link Time," Digital Equipment Corporation, WRL Research Report 86/3, October, 1986 1-20	
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Sheet 1 of 1

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		<b>Filing Date</b> March 15, 2002	<b>Group</b> 2131
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>			
	1	Dasgupta, D. et al., "Novelty Detection in Time Series Data Using Ideas from Immunology," 1995, 6 pages	
	2	D'haeseleer, P. et al., "A Distributed Approach to Anomaly Detection," August 30, 1997, 30 pages	
	3	D'haeseleer, P. et al., "An Immunology Approach to Change Detection: Algorithms, Analysis and Implications," <i>IEEE Symposium on Security and Privacy</i> , 1996, 10 pages	
	4	Forrest, S. et al., "Computer Immunology," <i>Comm. of the ACM</i> , March 21, 1996, 18 pages	
	5	Forrest, S. et al., "Self-Nonself Discrimination in a Computer," <i>Proceedings of IEEE Symposium on Research in Security and Privacy</i> , 1994, 11 pages	
	6	Hofmeyr, S.A., "Intrusion Detection Using Sequences of System Calls," December 17, 1997, 41 pages	
	7	Hofmeyr, S.A. et al., "Architecture for an Artificial Immune System," 2000, 31 pages	
	8	Somayaji, A. et al., "Automated Response Using System-Call Delays," <i>Proceedings of the 9th USENIX Security Symposium</i> , August 14-17, 2000, 13 pages	
	9	Somayaji, A. et al., "Principles of a Computer Immune System," <i>ACM, New Security Paradigms Workshop</i> , Langdale, Cumbria UK, 1998, 75-82	
	10	Warrender, C. et al., "Detecting Intrusions Using System Calls: Alternative Data Models," <i>IEEE Computer Society, Symposium on Security and Privacy</i> , 1999, 133-145	
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